

09-20-01

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PTO/SB/05 (4/98)  
Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. 1998DE503/Cont.

First Inventor or Application Identifier Reinhard DOENGES, et al.

Title Water-Soluble, Sulfoalkyl-Containing, ... Paints

Express Mail Label No. ET253403041US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ \* Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 21]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the invention
  - Brief Summary of the invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets ☐
4. Oath or Declaration [Total Pages 2]
- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)
- i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

\* NOTE FOR ITEMS 1 & 13 IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
11. ☒ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
13. ☐ \* Small Entity Statement(s) ☐ Statement filed in prior application  
(PTO/SB/09-12) Status still proper and desired
14. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
15. ☐ Other: \_\_\_\_\_

## 16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No. 09/427,351

Prior application information:

Examiner

E. Pescelev

Group / Art Unit: 1623

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name	PATENT TRADEMARK OFFICE			
Address				
City	State	Zip Code		
Country	Telephone	Fax		

Name (Print/Type) Anthony A. BISULCA

Registration No. (Attorney/Agent)

40,913

Signature

Anthony A. Bisulca

Date

9/19/01

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# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$)**710.00**

## Complete if Known

Application Number  
Filing Date **September 19, 2001**  
First Named Inventor **Reinhard DOENGES, et al.**  
Examiner Name **To be assigned**  
Group / Art Unit **To be assigned**  
Attorney Docket No. **1998DE503/Cont**

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **03-2060**

Deposit Account Name **Clariant Corporation**

- ☒ Charge Any Additional Fee Required  
Under 37 CFR §§ 1.16 and 1.17

2. ☐ Payment Enclosed:  
☐ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Fee Code (\$)	Entity Fee (\$)	Small Fee Code (\$)	Entity Fee (\$)	Fee Description	Fee Paid
101	690	201	345	Utility filing fee	<b>710.00</b>
106	310	206	155	Design filing fee	
107	480	207	240	Plant filing fee	
108	690	208	345	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$)**710.00**

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
<b>10</b>	<b>-20** = 0</b>	<b>18</b>	<b>0</b>
<b>3</b>	<b>-3** = 0</b>	<b>80</b>	<b>0</b>
Multiple Dependent			<b>0</b>

\*\*or number previously paid, if greater; For Reissues, see below

Large Fee Code (\$)	Entity Fee (\$)	Small Fee Code (\$)	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	78	202	39	Independent claims in excess of 3
104	260	204	130	Multiple dependent claim, if not paid
109	78	209	39	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)**0.00**

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Fee Code (\$)	Entity Fee (\$)	Small Fee Code (\$)	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	<b>0.00</b>
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	<b>0.00</b>
139	130	139	130	Non-English specification	<b>0.00</b>
147	2,520	147	2,520	For filing a request for reexamination	<b>0.00</b>
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	<b>0.00</b>
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	<b>0.00</b>
115	110	215	55	Extension for reply within first month	<b>0.00</b>
116	380	216	190	Extension for reply within second month	<b>0.00</b>
117	870	217	435	Extension for reply within third month	<b>0.00</b>
118	1,360	218	680	Extension for reply within fourth month	<b>0.00</b>
128	1,850	228	925	Extension for reply within fifth month	<b>0.00</b>
119	300	219	150	Notice of Appeal	<b>0.00</b>
120	300	220	150	Filing a brief in support of an appeal	<b>0.00</b>
121	260	221	130	Request for oral hearing	<b>0.00</b>
138	1,510	138	1,510	Petition to institute a public use proceeding	<b>0.00</b>
140	110	240	55	Petition to revive - unavoidable	<b>0.00</b>
141	1,210	241	605	Petition to revive - unintentional	<b>0.00</b>
142	1,210	242	605	Utility issue fee (or reissue)	<b>0.00</b>
143	430	243	215	Design issue fee	<b>0.00</b>
144	580	244	290	Plant issue fee	<b>0.00</b>
122	130	122	130	Petitions to the Commissioner	<b>0.00</b>
123	50	123	50	Petitions related to provisional applications	<b>0.00</b>
126	240	126	240	Submission of Information Disclosure Stmt	<b>0.00</b>
581	40	581	40	Recording each patent assignment per property (times number of properties)	<b>0.00</b>
146	690	246	345	Filing a submission after final rejection (37 CFR § 1.129(a))	<b>0.00</b>
149	690	249	345	For each additional invention to be examined (37 CFR § 1.129(b))	<b>0.00</b>
Other fee (specify)					<b>0.00</b>
Other fee (specify)					<b>0.00</b>

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**0.00**

## SUBMITTED BY

Name (Print/Type)	Registration No. (Attorney/Agent)	Telephone	Date
<b>Anthony A. Bisulca</b>	<b>40.913</b>	<b>704-395-6701</b>	<b>9/19/01</b>
Signature			

## WARNING:

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: DOENGES, et al.,  
Application No.: To be assigned  
Filed: 09/19/2001

Group No.: To be assigned  
Examiner: To be assigned

For: Water-Soluble, Sulfoalkyl-Containing, Hydrophobically  
Modified Cellulose Ethers, Processes For Preparing Them,  
And Their Use In Emulsion Paints

Commissioner for Patents and Trademarks  
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number ET253403041US  
Date of Deposit 09/19/2001

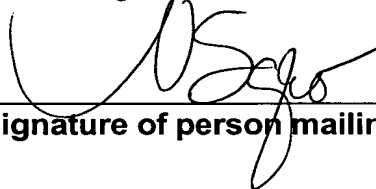
ET 253403041 US

I hereby state that the following *attached* paper or fee

Utility Patent Application Transmittal (1 sheet)  
Fee Transmittal (1 sheet)  
Preliminary Amendment ( sheet)  
Copy of Application as filed in SN 09/427,351(21 sheets)  
Copy of Declaration as filed in SN 09/427,351(2 sheets)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. section 1.10, on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Vicki L. Sgro



Signature of person mailing paper or fee

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